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PTO/SB/01 (10-00)

Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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**DECLARATION FOR UTILITY OR  
DESIGN  
PATENT APPLICATION  
(37 CFR 1.63)**

☒ Declaration Submitted with Initial Filing OR ☐ Declaration Submitted after Initial Filing (surcharge (37 CFR 1.16 (e)) required)

Attorney Docket Number 11180013010202

First Named Inventor Allen, Michael W.

**COMPLETE IF KNOWN**

Application Number /

Filing Date

Group Art Unit

Examiner Name

As a below named inventor, I hereby declare that:

My residence, mailing address, and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

Encapsulated Electronic Power Converter with Embedded AC Components

(Title of the Invention)

the specification of which

☒ is attached hereto

OR

☐ was filed on (MM/DD/YYYY)

as United States Application Number or PCT International

Application Number

and was amended on (MM/DD/YYYY)

(if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment specifically referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.

I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or 365(b) of any foreign application(s) for patent or inventor's certificate, or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or any PCT international application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	Certified Copy Attached?	
				YES	NO
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

☐ Additional foreign application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto:

I hereby claim the benefit under 35 U.S.C. 119(e) of any United States provisional application(s) listed below.

Application Number(s)	Filing Date (MM/DD/YYYY)	<input type="checkbox"/> Additional provisional application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto.
60/492,439	August 4, 2003	

[Page 1 of 2]

Burden Hour Statement: This form is estimated to take 21 minutes to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

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## DECLARATION — Utility or Design Patent Application

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Correspondence address below

Name

Address

Address

City

State

ZIP

Country

Telephone

Fax

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

NAME OF SOLE OR FIRST INVENTOR



A petition has been filed for this unsigned inventor

Given Name

(first and middle (if any)) Michael W.

Family Name

or Surname Allen

Inventor's

Signature ✓ *Michael W. Allen*

✓

Date 11/13/03

Residence: City Shortsville

State NY

US

Country

US

Citizenship

Mailing Address 83 Booth Street

Mailing Address

City Shortsville

State NY

ZIP 14548

Country US

NAME OF SECOND INVENTOR:



A petition has been filed for this unsigned inventor

Given Name

(first and middle (if any)) Robert J.

Family Name

or Surname Kolbet

Inventor's

Signature ✓ *Robert J. Kolbet*

✓

Date 11/13/03

Residence: City Macedon

State NY

US

Country

US

Citizenship

Mailing Address 3332 Eagles Roost Lane

Mailing Address

City Macedon

State NY

ZIP 14502

Country US

☒ Additional inventors are being named on the 1 supplemental Additional Inventor(s) sheet(s) PTO/SB/02A attached hereto.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

# **POWER OF ATTORNEY and CORRESPONDENCE ADDRESS INDICATION FORM**

Application Number	Filed Herewith
Filing Date	Herewith
First Named Inventor	Michael W. Allen
Title	See 1 in Addendum
Art Unit	
Examiner Name	
Attorney Docket Number	11180013010202

I hereby appoint:

☐ Practitioners at Customer Number:

OR

☒ Practitioner(s) named below:

Name	Registration Number
Duane C. Basch	34,545
Michael J. Nickerson	33,265

as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the United States Patent and Trademark Office connected therewith.

Please recognize or change the correspondence address for the above-identified application to:

☐ The above-mentioned Customer Number.

OR

☒ The address associated with Customer Number:

37211

OR

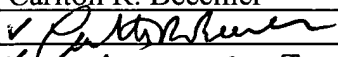
<input type="checkbox"/> Firm or Individual Name			
Address			
Address			
City	State	Zip	
Country			
Telephone	Fax		

I am the:

☐ Applicant/Inventor.

☒ Assignee of record of the entire interest. See 37 CFR 3.71.  
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96).

## SIGNATURE of Applicant or Assignee of Record

Name	Carlton R. Beechler		
Signature			
Date	NOV 12, 2003		Telephone (315) 548-5000

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below\*.

☒ \*Total of 1 forms are submitted.

This collection of information is required by 37 CFR 1.31 and 1.33. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 3 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

## Addendum

1. Encapsulated Electronic Power Converter with Embedded AC Components

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**STATEMENT UNDER 37 CFR 3.73(b)**Applicant/Patent Owner: Michael W. Allen, et al.Application No./Patent No.: Filed Herewith Filed/Issue Date: HerewithEntitled: Encapsulated Electronic Power Converter with Embedded AC ComponentsZ-Axis, Inc. (dba Bear Power Supplies)a Corporation

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or2. ☐ an assignee of less than the entire right, title and interest.

The extent (by percentage) of its ownership interest is \_\_\_\_\_ %

in the patent application/patent identified above by virtue of either:

A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.**OR**B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: \_\_\_\_\_ To: \_\_\_\_\_

The document was recorded in the United States Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

2. From: \_\_\_\_\_ To: \_\_\_\_\_

The document was recorded in the United States Patent and Trademark Office at  
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3. From: \_\_\_\_\_ To: \_\_\_\_\_

The document was recorded in the United States Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.☐ Additional documents in the chain of title are listed on a supplemental sheet.☐ Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

✓ Nov 13, 2003

Date

(315) 548-5000

Telephone number

Carlton R. Beechler

Typed or printed name

✓ Carlton R. Beechler

Signature

President

Title

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

Applicant or Patentee: **Michael W. Allen et al.**

Serial or Patent No: **60/492,439**

Title: **"Encapsulated Electronic Power Converter with Embedded AC Components"**

DOCKET: **1118 001 201 02 02**

Filed or Issued: **8/4/2003**

**and**

Applicant or Patentee: **Michael W. Allen et al.**

Serial or Patent No: **Filed Herewith**

Title: **"Encapsulated Electronic Power Converter with Embedded AC Components"**

DOCKET: **1118 001 301 02 02**

Filed or Issued: **Herewith**

## **ASSIGNMENT**

WHEREAS, **Michael W. Allen of Shortsville, NY 14548 and Robert J. Kolbet of Macedon, NY 14502** have invented certain new and useful improvements in **"Encapsulated Electronic Power Converter with Embedded AC Components"** for which a U.S. Provisional Patent Application was filed on **August 4, 2003** and afforded **USSN 60/492,439** ("Provisional"); and for which an application for Letters Patent has been executed of even date herewith ("Utility"); and

WHEREAS, **Z-Axis, Inc. (dba Bear Power Supplies) of Phelps, NY 14532** is desirous of obtaining the entire right, title and interest in, to and under the said improvements and the said Provisional and Utility applications;

NOW THEREFORE, in consideration of the sum of One Dollar (\$1.00) in hand paid, and other good and valuable consideration, the receipt of which is hereby acknowledged, the said

**Michael W. Allen and Robert J. Kolbet**

have sold, assigned, transferred and set over, and by these presents do hereby sell, assign, transfer and set over, unto the said

**Z-Axis, Inc. (dba Bear Power Supplies),**

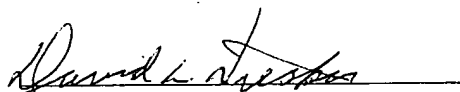
its successors, legal representatives and assigns, the entire right, title and interest in, to and under the said improvements, and the said provisional and utility applications and all utility applications and divisions, renewals and continuations thereof, and all Letters Patent of the United States which may be granted thereon and all reissues and extensions thereof, and all applications for Letters Patent which may hereafter be filed for said improvements in any country or countries foreign to the United States, and all Letters Patent which may be granted for said improvements in any country or countries foreign to the United States and all extensions, renewals and reissues thereof.

IN TESTIMONY WHEREOF, I hereunto set my hand and seal this ✓ 14 day of ✓ November, 2003.

  
Michael W. Allen

STATE OF NEW YORK  
COUNTY OF MONROE : ss.:

On this 14 day of November, 2003, before me, a Notary Public in and for the State and County aforesaid, personally appeared **Michael W. Allen**, to me known to be the person of that name, who signed and sealed the foregoing instrument and he acknowledges the same to be his free act and deed.

  
Notary Public

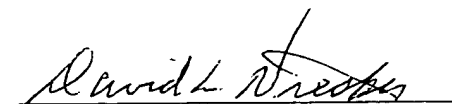
DAVID L. MESKES  
Notary Public, State of New York  
No. 01485073062  
Qualified in Ontario County  
Commission Expires 5/19/2007

IN TESTIMONY WHEREOF, I hereunto set my hand and seal this ✓ 14 day of ✓ November, 2003.

  
Robert J. Kolbet

STATE OF NEW YORK  
COUNTY OF MONROE : ss.:

On this 14 day of November, 2003, before me, a Notary Public in and for the State and County aforesaid, personally appeared **Robert J. Kolbet**, to me known to be the person of that name, who signed and sealed the foregoing instrument and he acknowledges the same to be his free act and deed.

  
Notary Public

DAVID L. MESKES  
Notary Public, State of New York  
No. 01485073062  
Qualified in Ontario County  
Commission Expires 5/19/2007